



UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
PHILADELPHIA REGIONAL OFFICE  
ONE PENN CENTER  
1617 JFK BOULEVARD  
SUITE 520  
PHILADELPHIA, PENNSYLVANIA 19103

**JULIA C. GREEN**  
SENIOR TRIAL COUNSEL  
(267) 602-2133  
[greenju@sec.gov](mailto:greenju@sec.gov)

October 30, 2019

**VIA ECF**

Honorable Ona T. Wang  
United States District Court  
Southern District of New York  
500 Pearl Street  
New York, NY 10007-1312

**Re: SEC v. Robert Stewart et al., No. 15-cv-03719 (AT)(OTW)**

Dear Judge Wang:

I write to provide a status report on the above-referenced case and the related criminal case, *United States v. Sean Stewart*, No. 15-cr-287 (JSR) (the "Criminal Action").

As previously reported, on November 5, 2018, the Second Circuit issued a ruling vacating Mr. Stewart's judgment of conviction in the Criminal Action and remanding the matter to the district court for further proceedings.

The retrial in the Criminal Action began, as scheduled, on September 9, 2019. On September 23, 2019, the jury returned a guilty verdict. Sentencing is scheduled for December 3, 2019.

Respectfully submitted,

/s/ Julia C. Green  
Julia C. Green

cc: Counsel of Record (by ECF)  
Sean Stewart (by U.S. Mail)  
Richard Cooper, Esq. (by email)  
Samson Enzer, Esq. (by email)  
Lawrence Gerschwer (by email)  
Steven Witzel (by email)